



187718/US - 475387-00245 PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s) : Guillermo J. Tearney et al.

Serial No. : 09/709,162

Filed : November 10, 2000

Entitled : SPECTRALLY ENCODED MINIATURE ENDOSCOPIC  
IMAGING PROBE


Group Art Unit : 3737

Examiner : Eleni M. Mantis Mercader

INFORMATION DISCLOSURE STATEMENT PURSUANT TO 37 C.F.R. § 1.97(i)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

I hereby certify that this document is being sent via First Class U. S. mail addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on this day of September 7, 2006.

  
(Signature)  
Gary Abelev, Esq.

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(d), Applicants respectfully requests that the listed references on the enclosed form PTO-1449 be placed in the file of the above-referenced application. Copies of the United States patent references listed on the Form PTO-1449 are not enclosed.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that the listed documents are material or constitute "prior art." If the Examiner applies the documents as prior art against any claim in the application and applicant determines that the cited documents do not constitute "prior art" under United States law, applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of the documents.

If the Examiner applies the documents as prior art against any claim in the application and applicants determine that the cited documents do not constitute “prior art” under United States law, applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of the documents.

The requisite fee of \$180.00 pursuant to these sections and 37 C.F.R. § 1.17(p) is enclosed herewith. The Commissioner is hereby further authorized to charge any deficiencies and credit any over payments for the submission of this Information Disclosure Statement to the Dorsey & Whitney’s Deposit Account 50-2054.

Respectfully submitted,

**DORSEY & WHITNEY, LLP**



---

Gary Abelev  
USPTO Reg. No. 40,479  
Attorney for Applicants  
(212) 415-9371

Form PTO-1449 U.S. Department of Commerce  
(REV. 2-82) Patent and Trademark Office

Atty. Docket No.  
187718/US - 475387-00245

Serial No.  
09/709,162

**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

Applicant(s)  
Guillermo J. Tearney et al.

Filing Date  
November 10, 2000

Group  
3737

(Use several sheets if necessary)



**U.S. PATENT DOCUMENTS**

*Exam. Init.	Document No.								Date	Name	Class	Subclass	Filing Date if Appropriate
	2	3	3	9	7	5	4		January 25, 1944	P.H. Brace			
	4	6	0	1	0	3	6		July 15, 1986	Faxvog et al			
	4	6	3	1	4	9	8		December 23, 1986	Cutler			
	4	8	6	8	8	3	4		September 19, 1989	Fox et al			
	4	9	2	5	3	0	2		May 15, 1990	Cutler			
	4	9	6	5	4	4	1		October 23, 1990	Picard			
	4	9	9	3	8	3	4		February 19, 1991	Carlhoff et al			
	5	0	4	0	8	8	9		August 20, 1991	Keane			
	5	0	4	6	5	0	1		September 10, 1991	Crilly			
	5	1	2	0	9	5	3		June 9, 1992	Harris			
	5	1	9	7	4	7	0		March 30, 1993	Helfer et al			
	5	2	9	3	8	7	2		March 15, 1994	Alfano et al			
	5	3	1	7	3	8	9		May 31, 1994	Hochberg et al			
	5	3	5	3	7	9	0		October 11, 1994	Jacques et al			
	5	3	8	3	4	6	7		January 24, 1995	Auer et al			
	5	4	1	9	3	2	3		May 30, 1995	Kittrell et al			
	5	4	3	9	0	0	0		August 8, 1995	Gunderson et al			
	5	4	4	1	0	5	3		August 15, 1995	Lodder et al			
	5	4	5	9	5	7	0		October 17, 1995	Swanson et al			
	5	4	6	5	1	4	7		November 7, 1995	Swanson			
	5	4	8	6	7	0	1		January 23, 1996	Norton et al			
	5	4	9	1	5	5	2		February 13, 1996	Kittrell			
	5	5	6	2	1	0	0		October 8, 1996	Kittrell et al			
	5	5	8	3	3	4	2		December 10, 1996	Koji Ichie			
	5	5	9	0	6	6	0		January 7, 1997	MacAulay et al			
	5	6	0	1	0	8	7		February 11, 1997	Richards- Kortum et al			

4845-8793-8305\1

Examiner

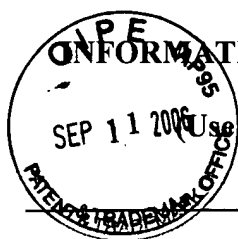
Date Considered

\* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449 U.S. Department of Commerce  
(REV. 2-82) Patent and Trademark Office

Atty. Docket No.  
187718/US - 475387-00245

Serial No.  
09/709,162



**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

Applicant(s)  
Guillermo J. Tearney et al.

Filing Date  
November 10, 2000

Group  
3737

(Use several sheets if necessary)

		5	6	9	7	3	7	3	December 16, 1997	Gunderson et al			
		5	7	1	9	3	9	9	February 17, 1998	Alfano et al			
		5	7	4	8	5	9	8	May 5, 1998	Swanson et al			
		5	7	8	4	3	5	2	July 21, 1998	Swanson et al.			
		5	7	9	5	2	9	5	August 18, 1998	Hellmuth et al			
		5	8	0	3	0	8	2	September 8, 1998	Stapleton et al			
		5	8	4	0	0	2	3	November 24, 1998	Oraevsky et al			
		5	8	4	2	9	9	5	December 1, 1998	Mahadevan- Jansen et al			
		5	8	6	5	7	5	4	February 2, 1999	Sevick-Muraca et al			
		5	8	7	1	4	4	9	February 16, 1999	David Lloyd Brown			
		5	9	2	1	9	2	6	July 13, 1999	Rolland et al			
		5	9	5	6	3	5	5	September 21, 1999	Swanson et al			
		5	9	6	8	0	6	4	October 19, 1999	Selmon et al			
		5	9	8	7	3	4	6	November 16, 1999	Benaron et al			
		5	9	9	4	6	9	0	November 30, 1999	Kulkarni et al			
		6	0	0	6	1	2	8	December 21, 1999	Izatt et al			
		6	0	1	0	4	4	9	January 4, 2000	Selmon et al			
		6	0	3	3	7	2	1	March 7, 2000	Nikos Nassuphis			
		6	0	4	4	2	8	8	March 28, 2000	Wake et al			
		6	0	4	8	7	4	2	April 11, 2000	Weyburne et al			
		6	0	6	9	6	9	8	May 30, 2000	Ozawa et al			
		6	0	9	1	9	8	4	July 18, 2000	Perelman et al			
		6	1	1	1	6	4	5	August 29, 2000	Tearney et al			
		6	1	1	7	1	2	8	September 12, 2000	Kenton W. Gregory			
		6	1	2	0	5	1	6	September 19, 2000	Selmon et al			
		6	1	3	4	0	0	3	October 17, 2000	Tearney et al			
		6	1	4	1	5	7	7	October 31, 2000	Rolland et al			

4845-8793-8305\1

Examiner

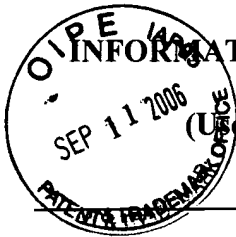
Date Considered

\* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449 U.S. Department of Commerce  
(REV. 2-82) Patent and Trademark Office

Atty. Docket No.  
187718/US - 475387-00245

Serial No.  
09/709,162



**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

(Use several sheets if necessary)

Applicant(s)  
Guillermo J. Tearney et al.

Filing Date  
November 10, 2000

Group  
3737

		6	1	5	1	5	2	2	November 21, 2000	Alfano et al			
		6	1	5	9	4	4	5	December 12, 2000	Klaveness et al			
		6	1	6	0	8	2	6	December 12, 2000	Swanson et al			
		6	1	6	1	0	3	1	December 12, 2000	Hochmann et al			
		6	1	7	5	6	6	9	January 16, 2001	Colston et al			
		6	1	8	5	2	7	1	February 6, 2001	Richard Estyn Kinsinger			
		6	1	9	1	8	6	2	February 20, 2001	Swanson et al			
		6	2	0	1	9	8	9	March 13, 2001	Whitehead et al.			
		6	2	0	8	8	8	7	March 27, 2001	Richard H. Clarke			
		6	2	8	2	0	1	1	August 28, 2001	Tearney et al			
		6	3	4	1	0	3	6	January 22, 2002	Tearney et al			
		6	3	7	7	3	4	9	April 23, 2002	Adolf Friedrich Fercher			
		6	4	2	1	1	6	4	July 16, 2002	Tearney et al			
		6	4	8	5	4	1	3	November 26, 2002	Boppart et al			
		6	4	8	5	4	8	2	November 26, 2002	W. Martin Belef			
		6	5	0	1	5	5	1	December 31, 2002	Tearney et al			
		6	5	5	2	7	9	6	April 22, 2003	Magnin et al			
		6	5	6	4	0	8	7	May 13, 2003	Pitris et al			
		6	6	2	2	7	3	2	September 23, 2003	Brent R. Constantz			
		6	6	8	5	8	8	5	February 3, 2004	Nolte et al.			
		6	6	8	7	0	0	7	February 3, 2004	Meigs			
		6	8	0	6	9	6	3	October 19, 2004	Wälti et al.			
	2002	0	1	6	1	3	5	7	October 31, 2002	Rox et al.			
	2002	0	1	6	3	6	2	2	November 7, 2002	Magnin et al.			
	2003	0	0	2	3	1	5	3	January 30, 2003	Izatt et al			
	2003	0	2	3	6	4	4	3	December 25, 2003	Cespedes et al			
	2003	0	0	2	6	7	3	5	February 6, 2003	Nolte et al.			
	2004	0	1	6	6	5	9	3	August 26, 2004	Nolte et al.			

4845-8793-8305\1

Examiner

Date Considered

\* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449 U.S. Department of Commerce  
(REV. 2-82) Patent and Trademark Office

Atty. Docket No.  
187718/US - 475387-00245

Serial No.  
09/709,162



**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

(Use several sheets if necessary)

Applicant(s)  
Guillermo J. Tearney et al.

Filing Date  
November 10, 2000

Group  
3737

		5	7	1	0	6	3	0	January 20, 1998	Essenpreis et al.			
		5	8	0	7	2	6	1	September 15, 1998	Benaron et al.			
		5	9	5	1	4	8	2	September 14, 1999	Winston et al.			
		5	9	8	3	1	2	5	November 9, 1999	Alfano et al.			
		6	1	3	4	0	1	0	October 17, 2000	Zavislan			
		6	1	9	3	6	7	6	February 27, 2001	Winston et al.			
		6	3	0	8	0	9	2	October 23, 2001	Hoyns			
		6	3	9	3	3	1	2	May 21, 2002	Hoyns			
		6	3	9	4	9	6	4	May 28, 2002	Sievert, Jr. et al.			
		6	4	4	5	9	4	4	September 3, 2002	Ostrovsky			
		6	4	6	3	3	1	3	October 8, 2002	Winston et al.			
		5	9	2	0	3	9	0	July 6, 1999	Farahi et al.			
		4	9	2	8	0	0	5	May 22, 1990	Lefèvre et al.			
		5	2	0	2	7	4	5	April 13, 1993	Sorin et al.			
		5	5	6	5	9	8	6	October 15, 1996	Knüttel			
		5	8	4	7	8	2	7	December 8, 1998	Fercher			
		5	8	7	7	8	5	6	March 2, 1999	Fercher			
		5	9	2	0	3	7	3	July 6, 1999	Bille			
		5	9	9	1	6	9	7	November 23, 1999	Nelson et al.			
		6	2	0	8	4	1	5	March 27, 2001	De Boer et al.			
		6	5	4	9	8	0	1	April 15, 2003	Chen et al.			
	2002	0	1	9	6	4	4	6	December 26, 2002	Roth et al.			
	2002	0	1	9	8	4	5	7	December 26, 2002	Tearney et al.			
		5	4	9	1	5	2	4	February 13, 1996	Hellmuth et al.			
		6	6	8	0	7	8	0	January 20, 2004	Fee			
	2003	0	1	3	5	1	0	1	July 17, 2003	Webler			
		6	9	8	0	2	9	9	December 27, 2005	de Boer			
		6	1	6	6	3	7	3	December 26, 2000	Mao			
		6	4	6	9	8	4	6	October 22, 2002	Ebizuka et al.			

4845-8793-8305\1

Examiner

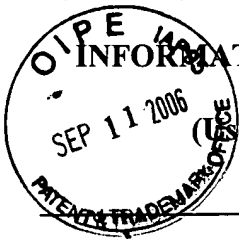
Date Considered

\* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449 U.S. Department of Commerce  
(REV. 2-82) Patent and Trademark Office

Atty. Docket No.  
187718/US - 475387-00245

Serial No.  
09/709,162



**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**  
(Use several sheets if necessary)

Applicant(s)  
Guillermo J. Tearney et al.

Filing Date  
November 10, 2000

Group  
3737

		5	6	2	3	3	3	6	April 22, 1997	Raab et al.			
		5	2	6	2	6	4	4	November 16, 1993	Maguire			
		5	1	2	7	7	3	0	July 7, 1992	Brelje et al.			
		5	2	4	8	8	7	6	September 28, 1993	Kerstens et al.			
		5	3	0	4	8	1	0	April 19, 1994	Amos			
		5	4	5	9	3	2	5	October 17, 1995	Hueton et al.			
		5	5	2	6	3	3	8	June 11, 1996	Hasman et al.			
		5	6	9	8	3	9	7	December 16, 1997	Zarling et al.			
		5	8	8	7	0	0	9	March 23, 1999	Mandella et al.			
		5	0	4	5	9	3	6	September 3, 1991	Lobb et al.			
		5	2	9	1	8	8	5	March 8, 1994	Taniji et al.			
		5	2	9	3	8	7	3	March 15, 1994	Fang			
		5	0	6	5	3	3	1	November 1991	Vachon et al.			
	2001	0	0	4	7	1	3	7	November 2001	Moreno et al.			
	2002	0	0	1	6	5	3	3	February 7, 2002	Marchitto et al.			
		6	8	1	6	7	4	3	November 9, 2004	Moreno et al.			
		6	3	2	4	4	1	9	November 27, 2001	Guzelsu et al.			
		6	5	6	4	0	8	9	May 13, 2003	Izatt et al.			
		6	1	9	8	9	5	6	March 6, 2001	Dunne, Shane			
		5	7	3	5	2	7	6	April 7, 1998	Lemelson, Jerome			
		6	5	5	8	3	2	4	May 6, 2003	Von Behren et al.			
		5	9	4	9	9	2	9	September 7, 1999	Hamm			
		6	3	5	3	6	9	3	March 5, 2002	Kano et al.			
		5	0	3	9	1	9	3	August 13, 1991	Snow et al.			
	2002	0	1	2	2	2	4	6	September 5, 2002	Tearney et al.			
		6	6	8	7	0	1	0	February 2004	Horii et al.			
		4	2	9	5	7	3	8	October 20, 1981	Meltz et al.			
		4	3	0	0	8	1	6	November 17, 1981	Snitzer et al.			
		4	7	7	0	4	9	2	September 13, 1988	Levin et al.			

4845-8793-8305\1

Examiner

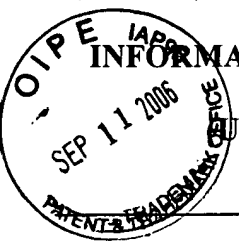
Date Considered

\* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449 U.S. Department of Commerce  
(REV. 2-82) Patent and Trademark Office

Atty. Docket No.  
187718/US - 475387-00245

Serial No.  
09/709,162



**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

(Use several sheets if necessary)

Applicant(s)  
Guillermo J. Tearney et al.

Filing Date  
November 10, 2000

Group  
3737

	2004	0	1	5	0	8	2	9	August 5, 2004	Koch et al.			
		5	3	0	5	7	5	9	April 26, 1994	Kaneko et al.			
		6	2	6	3	2	3	4	July 17, 2001	Engelhardt et al.			
		6	3	8	4	9	1	5	May 7, 2002	Everett et al.			
		6	6	1	5	0	7	1	September 2, 2003	Casscells, III et al.			
	2003	0	1	7	1	6	9	1	September 11, 2003	Casscells, III et al.			
		6	2	7	2	3	7	6	August 7, 2001	Marcu et al.			

**FOREIGN PATENT DOCUMENT**

		Document No.							Date	Country	Class	SubClass	Translator Yes No	

**OTHER DOCUMENTS (including Author, Title Date, Pertinent Pages, Etc.)**

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

4845-8793-8305\1

Examiner

Date Considered

\* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.